Water Security Grant and Funding Opportunities for the Water Sector U.S. EPA Water Security Division

DRAFT - December 2, 2005

Introduction

This Water Security Grant and Funding Matrix was developed in response to a request from States at the ASDWA/EPAWSD Shirtsleeves Security Meeting held in Alexandria, Virginia, August 23–24, 2005. The states requested EPA provide information on grants and funding available to states and utilities for incorporating security measures. This matrix looks at the major opportunities offered by the Department of Homeland Security (DHS) and provides specific background, eligibility criteria, application timelines, available funding, and acceptable uses of that funding. This document is organized in the following order:

- **Table 1** includes the three grant initiatives under the Homeland Security Grant Program (HSPG) that are applicable to the water sector: the State Homeland Security Grant Program (SHSP), the Urban Areas Security Initiative (UASI), and the Emergency Management Performance Grants (EMPG).
- **Table 2** includes two other grant programs offered by DHS that are applicable to the water sector: The Buffer Zone Protection Plan (BZPP) and the Pre-Disaster Mitigation Program (PDM).
- **Table 3** provides all key the Web site links for each of the grant programs.

For questions regarding the information in the matrix, please e-mail Nancy Muzzy at muzzy.nancy@epa.gov

Table 1. Homeland Security Grant Program (HSGP)

_	Homeland Security Grant Program (HSGP)		
Program	State Homeland Security Grant Program (SHSP)	Urban Areas Security Initiative (UASI)	Emergency Management Performance Grants (EMPG)
National Incident Management System (NIMS)	All NIMS training approved by the NIMS Integration Center (NIC) is eligible under HSGP. All Incident Command System (ICS) training offered through the National Fire Academy (NFA) and the Emergency Management Institute (EMI) is eligible under HSGP. This applies to resident training, train-the-trainer, and field delivery of courses. Grantees and sub-grantees are encouraged to leverage HSGP funding to support planning for and implementation of NIMS.		
Grant Hierarchy	DHS provides the funding for these programs through its Office for Domestic Preparedness (ODP). ODP provides funds to the individual State Administrative Agency (SAA). These are the only agencies that can apply for funds. The SAA obligate the funds to sub-grantees - local units of government and other designated recipients.		
Program Purpose	The FY06 SHSP provides funds to enhance the capability of state and local units of government to prevent, deter, respond to, and recover from incidents of terrorism involving the use of chemical, biological, radioactive, nuclear, and explosive (CBRNE) weapons and cyber attacks. The FY06 SHSP supports implementing the State Homeland Security Strategy to address identified planning, training, equipment, and exercise needs. Also, the SHSP supports the implementation of the NPS, NIMS and the NRP. In particular, SHSP funds should be focused on enhancing catastrophic planning across all hazards, particularly with 30 of the 36 Target Capabilities which are "dual use" in nature, common to natural disasters or terrorist attacks. See p. 8 of Target Capabilities List: Version 1.1, DHS, http://www.ojp.usdoj.gov/odp/docs/TCL1_1.pdf	The FY05 UASI Program provides financial assistance to address the unique planning, equipment, training, and exercise needs of high-threat, high-density urban areas, and to assist them in building an enhanced and sustainable capacity to prevent, respond to, and recover from threats or acts of terrorism. The FY05 UASI Program provides the opportunity to enhance regional preparedness efforts. Urban areas are encouraged to employ regional approaches to overall preparedness and to adopt regional response structures whenever appropriate to meet the needs identified through the assessment and in the urban area strategy. Funding is expended based on Urban Area Homeland Security Strategies.	With funds provided through the FY06 EMPG, states have the opportunity to structure individual emergency management programs based on identified needs and priorities for strengthening their emergency management capabilities, while addressing issues of national concern. States have the flexibility to develop intrastate emergency management systems that encourage the building of partnerships that include government, business, volunteer and community organizations. EMPG guidance for FY06 is currently available, issued November 14, 2005, at: http://www.ojp.usdoj.gov/odp/grants_programs.htm:#fy2006empg

	Homeland Security Grant Program (HSGP)			
Program	State Homeland Security Grant Program (SHSP)	Urban Areas Security Initiative (UASI)	Emergency Management Performance Grants (EMPG)	
Acceptable Funding Uses	These funds support costs related to: Homeland security and emergency of Purchase of specialized equipment (security (AEL)) and the Responder Knowle Costs related to the design, developing Cyber security training programs and Design, development, conduct, and exercises which are terrorism related Models, simulations or games (see green Management and administrative (M&State Homeland Security Strategy and 2.5% local) Related exercises and trainings in presuperbowl) or a TOPOFF exercise Enhanced security allowable at critical lighting, fencing, closed circuit TV systems detection systems, barriers, gates, et Overtime and backfill costs for attend In addition to those areas identified under the nonprofit organizations located within the underly authorized equipment list. No M&A control of the second cont	see guidance related to Authorized Equipment edge Base (RKB) (http://www.rkb.mipt.org) nent, and conduct of state-wide CBRNE and attendance at ODP-approved courses evaluation of CBRNE and cyber security uidance) A) costs associated with implementing the ad managing SHSP (limited to 3% state and eparing to hosting a special event (e.g., all infrastructure activities, including improved stems, communication antennas, motion c., not to exceed \$1 million. Iance at ODP sponsored or approved trainings. UASI, funds are also available to protect urban areas. Funds available for target of security equipment in real property owned are Allowable Equipment Costs List set forth in	Funds provided through the EMPG program shall be used for emergency management program to accomplish the following initiatives: Emergency Management Organization Program; Homeland Security Assessment and Strategy Integration; NRP and NIMS; and EMAP. EMPG funds can be used for specialized equipment acquisition; training to enhance the capabilities of state and local personnel; and exercise design, development, conducting and evaluating emergency management related exercises. FY06 EMPG activities focus on addressing shortfalls and sustaining capabilities in their emergency management programs, with a specific focus on planning for catastrophic events. Acceptable costs include planning, organization, equipment, training, M&A, exercises, and some personnel costs. Construction and renovation costs related to updating facilities to be usable and accessible to individuals with disabilities is permissible. See the guidance information, for details of these areas. Purchase of specialized equipment (see guidance related to Authorized Equipment List (AEL) and the Responder Knowledge Base (RKB) http://www.rkb.mipt.org	
Eligibility Criterion	The Governor of each state has designated an SAA to apply for and administer the funds under HSGP. The SAA is the only agency eligible to apply for HSGP funds and is responsible for obligating HSGP funds to local units of government and other designated recipients. SHSP expenditures must be linked to goals or objectives in State Strategy; UASI expenditures are expended based upon the Urban Area Homeland Security Strategies; and EMPG funds support the comprehensive, risk-based, all-hazards emergency management program and support activities that contribute to the capability to manage consequences of acts of terrorism.			

	Homeland Security Grant Program (HSGP)		
Program	State Homeland Security Grant Program (SHSP)	Urban Areas Security Initiative (UASI)	Emergency Management Performance Grants (EMPG)
Contacts/ Web Site	The Office for Domestic Preparedness 810 Seventh Street, N.W. Washington, DC 20531 ODP Centralized Scheduling and Information Desk (CSID) 1-800-368-6498, 8:00 a.m. to 7:00 p.m. EST, Mon-Fri.; Fax: 202-786-9920 State Administrative Agencies (SAA) Appointed contact responsible for managing all ODP grants: http://www.ojp.usdoj.gov/odp/contact_state.htm State Homeland Security Contacts:		
Application/ Timeframe	ODP now accepts applications only electronically through the Grant Management System (GMS) located on the Office of Justice Programs (OJP) Web site. Instructions regarding electronic submissions through GMS are provided on the OJP Web site at www.ojp.usdoj.gov/fundopps.htm . Assistance with GMS may also be obtained by using the following toll-free telephone number: 1-888-549-9901. Or Electronic submission through Grant Management System www.ojp.usdoj.gov/fundopps.htm . Assistance with GMS may also be obtained by using the following toll-free telephone number: 1-888-549-9901. Application hints: Application hints: Application should identify submissions as new, non-construction applications. To expedite application and award process, no budget information except for the specific EMPG budget narrative is required to apply. Applicants need a DUNS number (can request at 1-800-333-0505). Applicants should follow guidance hints to frame the multiple part program narrative submission, including management capabilities, resource allocation estimate, challenges, and recommendations. EMPG applications must include a brief budget narrative. UASI applications must identify the POC and define the Urban Area. All applications should reference the NIMS state certification compliance. EMPG is a 2-year period of performance, from 10/01/05 through 9/30/07. Any unspent balance will be deobligated by ODP at the end of this period. Deadline for applying for EMPG funding is 12/14/05 through Grants Management System. Applications are available as of 11/14/05. Awarding of funds by ODP will be within 30 days of receipt of application.		
Funding Distribution	Funds are awarded to and distributed through the SAA designated by the governor of each state. 80% of state award must be sub-granted to local jurisdictions.	Each state must obligate not less than 80% of the total grant program amount to identified urban area jurisdictions. Any funds retained by the state must be used to directly support the urban areas. No more than 25% of the gross amount of the UASI award may be used for operational expenses and overtime costs for identified operational activities.	Each state must obligate 100% of the total grant program amount to the designated state-level emergency management agency (EMA). State EMAs are encouraged to pass EMPG funds through to local EMAs, as appropriate.

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Program	Homeland Security Grant Program (HSGP)		
	State Homeland Security Grant Program (SHSP)	Urban Areas Security Initiative (UASI)	Emergency Management Performance Grants (EMPG)
Cost Share?	No	No	EMPG has a 50% federal and 50% state cost- share cash or in-kind match requirement. Match requirements are waived for the US Territories of American Samoa, Guam, the Virgin Islands, and the Commonwealth of the Northern Mariana Islands.
Competitive	Competitive		
or Non- competitive?			
Funding Available	\$2.5 billion (FY05) \$550 million (FY06) Data for FY06 taken from Conference Report on H.R. 2360, DHS Appropriations Act, 2006, http://thomas.loc.gov/cgi- bin/cpquery/T?&report=hr241&dbname=cp 109&)		\$180 million (FY06)

Table 2. Buffer Zone Protection Program (BZPP) and Pre-Disaster Mitigation Program (PDM)

Program	Buffer Zone Protection Program (BZPP)	Pre-Disaster Mitigation Program (PDM)
Grant Hierarchy	DHS provides the funding for this program through ODP.	DHS provides funding for this program through the Federal Emergency Management Agency (FEMA).
	ODP provides funds to the individual SAA. These are the only agencies that can apply for funds.	The state EMA or similar office are eligible to apply
	The SAA obligate the funds to sub-grantees - local units of government and other designated recipients within the critical infrastructure and key resource (CI/KR) sites.	Sub-applicants apply to the applicant for assistance. Sub-applicants eligible include: state-level agencies including state institutions (e.g., state hospital or university); federally recognized Indian tribal governments; local governments, including state recognized Indian tribes, authorized Indian tribal organizations, and Alaska Native villages; public colleges and universities; and Indian tribal colleges and universities.
Program Purpose	The goal of ODP grant program is to provide funding to enhance the capacity of state and local jurisdictions to prevent, respond to, and recover from incidents of terrorism involving CBRNE weapons and cyber attacks. BZPP is designed to reduce vulnerabilities of CI/KR sites by extending the protected area around a site into the surrounding	The PDM will provide funds for hazard mitigation planning and the implementation of mitigation projects prior to a disaster event. Funding these plans and projects reduces overall risks to the population and structures, while also reducing reliance on funding from actual disaster declarations.
	community and supporting the prevention and preparedness efforts of local first responders.	FEMA provides grants to states and federally recognized Indian tribal governments that in turn provide sub-grants to local governments (to include Indian tribal governments) for mitigation activities such as planning and the implementation of projects identified through the evaluation of natural hazards.
		Funds provided through the PDM will provide funding for hazard mitigation planning and the implementation of mitigation projects prior to a disaster event.
Acceptable Funding Uses	BZPP provides funding for the equipment, management, and administration of actions to protect, secure, and reduce the vulnerabilities of identified (CI/KR) sites.	Example of FY05 approved mitigation projects: State of Texas http://www.txdps.state.tx.us/DEM/mitigation/FY05PDgrant.pdf
	. ,	Mitigation planning: \$1M cap on federal share, not to exceed 3 years
	BZPP provides enhanced security for select infrastructures and assets based on criteria established annually by DHS with state and local input.	Mitigation projects: \$3M cap on federal share, not to exceed 3 years
		Information dissemination activities: not to exceed 10%
	Authorized Equipment List (AEL):	Applicant management costs, not to accept 400/
	Explosive Device Mitigation and Remediation Equipment Industrial Communications Fundament	Applicant management costs: not to exceed 10%
	 Interoperable Communications Equipment Detection Equipment Physical Security Enhancement 	Sub-applicant management costs: not to exceed 5%.

Program	Buffer Zone Protection Program (BZPP)	Pre-Disaster Mitigation Program (PDM)
	Inspection and Screening Equipment	
Eligibility Criterion	The SAA is the only agency eligible to apply for FY05 BZPP funds and is responsible for obligating FY05 BZPP funds to responsible jurisdictions that have authority over and around the identified CI/KR sites. Note: CI/KR sites and their locations are sensitive; DHS will provide each state with information regarding the identity and location of specific sites in their respective states. Criteria for selecting infrastructures and assets (CI/KR sites) are established annually by DHS with state and local input.	Only the state emergency management agencies or a similar office are eligible to apply to FEMA for assistance as Applicants under this program. For additional eligibility criteria and FY06 Guidance, please visit: http://www.fema.gov/fima/pdm#fy2006
Contacts/ Web Site	The Office for Domestic Preparedness 810 Seventh Street, N.W.	Contact Regional FEMA office
	Washington, DC 20531 ODP Centralized Scheduling and Information Desk (CSID) 1-800-368-6498, 8:00 a.m. to 7:00 p.m. EST, Mon-Fri. FY05 Application Guidelines http://www.ojp.usdoj.gov/odp/docs/fy05bzpp.pdf	Web site: http://www.fema.gov/regions e-grants helpdesk 1-866-476-0544
Application/ Timeframe	Applications must be submitted online using the Office of Justice Program's (OJP) Grant Management System (GMS) and must contain information and meet the requirements outlined in the FY 05 BZPP solicitation program guidelines and application kit. FY05 Application Guidelines can be found at:	The FY06 PDM application period is open as of November 21, 2005. Application information is available at: http://www.fema.gov/fima/pdm#fy2006 The deadline for FY 2006 PDM grant applications to be submitted to
	http://www.ojp.usdoj.gov/odp/docs/fy05bzpp.pdf. Guidelines for FY06 are expected to be similar to FY05. The FY05 program title listed in	FEMA is 11:59:59 PM (EST) on March 3, 2006.
	the Catalog of Federal Domestic Assistance (CFDA) at http://12.46.245.173/cfda/cfda.html is "Department of Homeland Security Fiscal Year 2005 Buffer Zone Protection Program."	Each Applicant may submit a maximum of five sub-applications for planning and/or project activities, plus one sub-application for Applicant management costs.
	SAAs must apply for FY05 BZPP funding through the on-line Grants Management System (GMS). This grant is offered by DHS, through a partnership between Information Analysis and Infrastructure Protection (IAIP) and ODP. The CFDA number for the FY05 BZPP is 97.078. When completing the on-line application, applicants should	The deadline for having a FEMA-approved mitigation plan to be eligible to receive a Fiscal Year 2006 PDM program project grant is April 14, 2006.
	identify their submissions as new, non-construction applications. The project period will be for a period not to exceed 12 months. To expedite the application and award process, no budget information is required to apply for this grant.	FEMA requires Applicants to use the electronic grant (eGrants) management system: portal.fema.gov. Only PDM grant applications submitted through the eGrants system will be accepted.
	1.57552 to apply to: time grants	A Benefit-Cost Analysis is required for all mitigation project subapplication.

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Program	Buffer Zone Protection Program (BZPP)	Pre-Disaster Mitigation Program (PDM)
Funding Distribution	Funds are awarded to and distributed through the SAA designated by the governor of each state.	Funding for the program is provided through the National Pre-Disaster Mitigation Fund to assist states and local governments in implementing cost-effective hazard mitigation activities that complement a comprehensive mitigation program.
Cost Share?	No	At least 25% non-federal cost share. Small, impoverished communities may be eligible for up to a 90% federal cost-share.
Competitive or Non-Competitive	Competitive	Competitive
Funding Available	FY06 funding set at \$50 million.	\$50 million was made available for competitive grants, technical assistance, and program support for the FY06 PDM program. Note: \$130 million of carryover funding to be obligated by end of FY06.

Notes

- 1. Comment on FY06 Guidelines for Buffer Zone Protection Program was provided by ODP contacts.
- 2. FY06 Guidance for BZPP is anticipated to be available in approximately two weeks (about November 14, 2005). Policy decisions on the program are still with upper management. No specific CI/KR sites have been identified. There is some potential that the program will include some water sites. Per recent discussion with ODP, on October 28, 2005.
- 3. State Homeland Security Program is a subprogram of the Homeland Security Grant Program. The other subprograms include: Urban Areas Security Initiative, Law Enforcement Terrorism Prevention Program, Citizen Corps Program, Emergency Management Performance Grants, and Metropolitan Medical Response System Program. The description of these programs indicates that funding under the UASI and EMPG may be applicable to water programs, but the funds are earmarked for state and local jurisdictions.

Definitions:

NIMS – National Incident Management System. A system mandated by Homeland Security Presidential Directive 5 that provides a consistent, nationwide approach for federal, state, local, and tribal governments; and the private sector to work effectively and efficiently together to prepare for, respond to, and recover from domestic incidents, regardless of cause, size, or complexity.

NRP – National Response Plan. Establishes a comprehensive all-hazards approach to enhance the ability of the United States to manage domestic incidents. The plan incorporates best practices and procedures from incident management disciplines—homeland security, emergency management, law enforcement, firefighting, public works, public health, responder and recovery worker health and safety, emergency medical services, and the private sector—and integrates them into a unified structure. It forms the basis of how the federal government coordinates with state, local, and tribal governments and the private sector during incidents.

NPS – National Preparedness System. The NPS derives its authority from Homeland Security Presidential Directives 5, 7 and 8, and comprises seven core national initiatives. These initiatives include the National Incident Management System (NIMS), the National Response Plan (NRP), the National Infrastructure Protection Plan (NIPP), the National Preparedness Goal (NPG), Capabilities-Based Planning Tools, Homeland Security Grant Program Guidance, and National Preparedness Guidance. This effort purports to establish a comprehensive national system to ensure that the response to disasters of all types is as efficient and effective as possible. The Office of State and Local Government Coordination and Preparedness (OSLGCP), rather than the Emergency Preparedness and Response Directorate (EP&R, a/k/a FEMA), has been assigned the lead role for developing most of the National Preparedness System.

ODP – Office for Domestic Preparedness. ODP is the principal component of the Department of Homeland Security (DHS) responsible for preparing the United States against acts of terrorism. In carrying out its mission, ODP is responsible for providing training, funds for the purchase of equipment, support for the planning and execution of exercises, technical assistance and other support to assist states and local jurisdictions to prevent, respond to, and recover from acts of terrorism. ODP achieves its mission by providing grants to states and local jurisdictions, providing hands-on training through a number of residential training facilities and in-service training at the local level, funding and working with state and local jurisdictions to plan and execute exercises, and providing technical assistance on-site to state and local jurisdictions.

Table 3. List of Key Web Sites

Grant Program	Category	Link
SHSP	Target Capabilities List	http://www.ojp.usdoj.gov/odp/docs/TCL_1.pdf
SHSP, UASI,	Authorized Equipment List (AEL) guidance and Responder Knowledge Base	http://www.rkb.mipt.org
EMPG	(RKB)	
SHSP, UASI,	State Administrative Agencies (SAA): Contact responsible for managing all ODP	http://www.ojp.usdoj.gov/odp/contact_state.htm
EMPG	grants	
SHSP	Contacts	http://www.dhs.gov/dhspublic/display?theme=11&content=3138
SHSP, UASI,	Instructions regarding electronic submissions and electronic submissions	http://www.ojp.usdoj.gov/fundopps.htm
EMPG	through Grant Management System (GMS)	
SHSP	Funding available	http://thomas.loc.gov/cgi-
		bin/cpquery/T?&report=hr241&dbname=cp109&)
EMPG	EMPG Guidance for FY06	http://usdoj.gov/odp/docs/FY06EMPGprogramguidance.pdf
BZPP	FY05 Application Guidelines	http://www.ojp.usdoj/odp/docs/fy05bzpp.pdf
BZPP	Program title in Catalog of Federal Domestic Assistance (CFDA) is "Department	http://12.46.245.173/cfda/cfda.html
	of Homeland Security Fiscal Year 2005 Buffer Zone Protection Program"	
PDM	Example of FY05 approved mitigation projects, State of Texas	http://www.txdps.state.tx.us/DEM/mitigation/FY05PDgrant.pdf
PDM	Eligibility Criteria	http://www.fema.gov/pdf/fima/fy_2006_pdm_overview.pdf
PDM	FY06 Guidance	http://www.fema.gov/pdf/fima/fy_2006_pdm_guidance.pdf
PDM	Contact: Regional FEMA Office	http://www.fema.gov/regions
PDM	Application period announcement	http://www.fema.gov/fima/pdm